

eZAudit Requirements
DRAFT
FOR INTERNAL REVIEW

Requirement Description				Functional Area	Priority	Source	Notes and Questions
1 Sign On							
	1.1 General						
	1.1.1	The system will provide an on-line help feature.				Ti Baker - Requirement deliverable feedback	
	1.1.2	The system will record audit trail information for all actions taken within the system.					
	1.2 Registration						
	1.2.1	The System will capture registration information needed for the Sign On Process in accordance with Dept of ED standards.	Submission & Receipt	Critical	Requirements Team		
	1.2.2	The system will capture auditor licensing information as part of the registration process.	Submission & Receipt	Critical	RS 3, Day 2		
	1.2.3	The system will validate auditor licensing information.	Submission & Receipt	Low	RS 1, #6		
	1.3 Schools						
	1.3.1 Access Rights						
	1.3.1.1	The System will authenticate the institution users id.	Submission & Receipt	Critical	RS 1, #32		
	1.3.1.2	The System will determine the users access rights based on their role.	Submission & Receipt	Critical	RS		Define access rights based on read-only, read/write, read/write/submit data.
	1.3.1.3	The system will allow the user to select the type of submission.	Submission & Receipt	Critical	RS 3, Day 2		
	1.3.1.3.1	FSA	Submission & Receipt	Critical	RS 3, Day 2		
	1.3.1.3.1.1	Compliance Audit	Submission & Receipt	Critical	RS 3, Day 2		
	1.3.1.3.1.2	Financial Statements	Submission & Receipt	Critical	RS 3, Day 2		
	1.3.1.3.2	A-133	Submission & Receipt	Critical	RS 3, Day 2		
	1.3.1.3.2.1	Public	Submission & Receipt	Critical	RS 3, Day 2		
	1.3.1.3.2.2	Non-Profit	Submission & Receipt	Critical	RS 3, Day 2		
	1.3.1.3.3	PPA Actions	Submission & Receipt	High	RS 3, Day 2		
	1.3.1.3.3.1	Change in ownership	Submission & Receipt	High	RS 3, Day 2		
	1.3.1.3.3.1.1	Same Day Balance Sheet	Submission & Receipt	High	RS 3, Day 2		
	1.3.1.3.3.2	Recertifications	Submission & Receipt	High	RS 3, Day 2		
	1.3.1.3.3.3	Reinstatements	Submission & Receipt	High	RS 3, Day 2		
	1.3.1.3.3.4	Mergers	Submission & Receipt	High	RS 3, Day 2		
	1.3.1.3.3.5	Initial Application	Submission & Receipt	High	RS 3, Day 2		
	1.3.1.3.3.6	Additional Locations	Submission & Receipt	High	RS 3, Day 2		
	1.3.1.3.3.7	Request an Extension	Submission & Receipt	High	Core Team		
	1.3.1.3.3.7.1	The system will provide fields to capture the engagement letter date.	Submission & Receipt	High	Core Team		
	1.3.1.3.3.8	Request a Wavier	Submission & Receipt	High	Core Team		
	1.4 Auditor						
	1.4.1 Access Rights						
	1.4.1.1	The system will authenticate the compliance auditors id.	Submission & Receipt	Critical	RS 1, #32		
	1.4.1.2	The system will authenticate the financial statement auditors id.	Submission & Receipt	Critical	RS 1, #32		
	1.4.1.3	The System will determine the users access rights based on their role.	Submission & Receipt	Critical	RS		Define access rights based on read-only, read/write, read/write/submit data.
	1.4.1.4	The System will determine the type of submission the auditor is responsible for based on their registration.	Submission & Receipt	Critical	RS 3, Day 2		
	1.5 ED						
	1.5.1 Access Rights						
	1.5.1.1	The System will provide the users access rights based on their role.	Case Management	Critical	RS		Define access rights based on read-only, read/write, read/write/submit data.
	1.5.1.1.1	The System will provide view access rights to the appropriate ED Users for compliance audits.	Case Management	Critical	RS		

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		1.5.1.1.2	The System will provide update access rights to the appropriate ED Users for compliance audits.	Case Management	Critical	RS 3, Day 2	
		1.5.1.1.3	The System will provide view access rights to the appropriate ED Users for financial statements.	Case Management	Critical	PIP Memo 97 -10, p.4	
		1.5.1.1.4	The System will provide update access rights to the appropriate ED Users for financial statements.	Case Management	Critical	RS 3, Day 2	
		1.5.1.1.4.1	The System will provide view access rights to the Office of Chief Financial Officer for FAD only.	Case Management	Medium	PIP Memo 97 - 20 (p.6)	
		1.5.1.1.4.2	The System will provide view access rights to the OGC.	Case Management	High	RS 3, Day 2	
		1.5.1.1.4.3	The System will provide view access rights to the Office of Inspector General.	Case Management	High	PIP Memo 97 - 20 (p.6)	
		1.5.1.1.4.4	The System will provide the AAA(D) users view access rights to the compliance audit information.	Case Management	High	RS	
		1.5.1.1.4.5	The System will provide the AAA(D) users view access rights to the financial statements.	Case Management	High	RS 3, Day 2	
		1.5.1.1.4.6	The System will provide view access rights to the Office of Chief Financial Officer for ACD only.	Case Management	High	RS	
		1.5.1.1.4.7	The system will provide view access to the Area Case Director for LOC.	Case Management	Medium	Focus Group and Site Visit Summaries	
		1.6 Permissions					
		1.6.1	The System will provide submit capabilities only to a registered auditor's id.	Submission & Receipt	Critical	RS 1, #28	
2	Data Entry	2.1 General					
		2.1.1	The System will provide an explanation to users noting that changes to institutional demographic data will need to be handled by the eApp process.	Submission & Receipt	Critical	RS 3, Day 2	
		2.1.2	The system will pre-populate institutional demographic data.	Submission & Receipt	Critical	RS	
		2.1.3	The system will provide field level instructions/definitions for data input fields.	Submission & Receipt	Critical	Core Team	
		2.1.4	The system will provide fields to capture a school owner's personal contact information.	Submission & Receipt	Critical	Core Team	
		2.1.4.1	Home Address	Submission & Receipt	Critical	Core Team	
		2.1.4.2	Home Telephone Number	Submission & Receipt	Critical	Core Team	
		2.1.4.3	Email Address	Submission & Receipt	Critical	Core Team	
		2.2 Audit					
		2.2.1	The System will provide the acceptability checks contained in the Acceptability review for FSA Compliance Audits.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.1	The System will provide fields to capture the Title IV programs audited (number 1):	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.1.1	Federal Supplemental Educational Opportunity Grant Program (84.007)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.1.2	Federal Family Education Loan Program (84.032)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.1.3	Federal Work-Study Program (84.033)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.1.4	Federal Perkins Loan Program (84.038)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.1.5	Federal Pell Grant Program (84.063)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.1.6	Federal Direct Loan Program (84.268)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.2	The System will provide fields to capture the period audited (number 2)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.2.1	The system will provide fields to indicate reason for audit period of less than one year.	Submission & Receipt	Critical	RS 3, Day 2	
		2.2.1.2.1.1	Change in fiscal year end	Submission & Receipt	Critical	RS 3, Day 2	
		2.2.1.2.1.2	Stub audit	Submission & Receipt	Critical	RS 3, Day 2	
		2.2.1.2.1.3	Closeout audit	Submission & Receipt	Critical	RS 3, Day 2	
		2.2.1.2.1.4	Closeout program	Submission & Receipt	Critical	Core Team	
		2.2.1.3	The System will provide fields to capture data requested in the "Audit Information Sheet" template (number 4)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.3.1	Name of Institution	Submission & Receipt	Critical	RS 2, #6	

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			2.2.1.3.2	Institutional Address	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.3	Institution EIN Number	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.4	Institution OPE ID	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.4.1	Parent	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.4.2	Subsidiary	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.5	Institution Duns Number	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.6	Institution Telephone Number	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.7	Institution Fax Number	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.8	Institution President	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.9	Institution Contact Person & Title	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.10	Lead Auditor	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.11	Auditor Email address	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.12	Auditor License Number: Home state	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.13	Auditor License Number: Out of state	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.14	Auditor Firm's Name	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.15	Audit Firm Address	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.16	Auditor Telephone Number	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.17	Auditor Fax Number	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.18	For the award year that ended during the institution's fiscal year, the percentage of:	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.18.1	Correspondence or telecommunication courses to total courses	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.18.2	Regular students enrolled in correspondence courses	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.18.3	Regular students that are incarcerated	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.18.4	Regular students enrolled based on ability to benefit	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.18.5	For short term programs:	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.18.5.1	Completion	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.18.5.2	Placement	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.19	The campuses/locations considered as part of this entity and covered or excluded by this examination	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.19.1	Location	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.19.2	>50% of Program Offered at Site (Yes/No)	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.19.3	Location on Eligibility Letter (Yes/No)	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.19.4	Notice to ED Prior to Offering Instruction (Yes/No)	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.19.5	Date Opened	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.19.6	Date Closed	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.19.7	Date of CPA's Last Visit	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.3.19.8	Exclusion Reason	Submission & Receipt	Critical	RS 2, #6	

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		2.2.1.3.20	Institution's Primary Accrediting Organization	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.3.21	Other Accrediting Organizations	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.3.22	If the institution does not use a servicer, make a statement to that effect.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.3.23	Location of records for the accounting and administration of the FSA programs.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.3.24	Current Mailing Address	Submission & Receipt	Critical	RS 3, Day 2	
		2.2.1.3.25	Storage Location of FSA Records	Submission & Receipt	Critical	RS 3, Day 2	
		2.2.1.3.26	For Close Out Examinations Only:	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.3.26.1	Open Bank Accounts or unexercised sureties that may contain Federal funds.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.3.26.1.1	Bank Name	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.3.26.1.2	Bank Address	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.3.26.1.3	Bank Account Number	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.4	The System will provide fields to capture which audit guide was used. (number 5)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.5	The System will provide fields to indicate that the examination was conducted in accordance with GAS, issued by the Comptroller General of the United States; attestation standards established by the AICPA; and the Audit Guide, Audits of Federal Student Financial Assistance Programs at Participating Institutions and Institution Servicers, issued by the U.S. Department of Education, Office of Inspector General.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6	The System will provide fields to allow the user to enter any management assertions that are present, based on the audit guide used (number 6)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6.1	Institutional Eligibility and Participation	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6.2	Reporting	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6.3	Student Eligibility	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6.4	Disbursements	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6.5	Refunds/Return of Title IV	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6.6	Gaps and Cash Management	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6.7	Perkins Loan	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6.8	Administrative Capabilities	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.6.9	Close Out	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.7	The System will provide fields to capture the opinion type (number 7)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.7.1	Unqualified	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.7.2	Qualified	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.7.3	Disclaimer	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.7.4	Adverse	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.8	The System will provide fields to capture the text of the opinion if other than an unqualified opinion. (number 7)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.9	The System will provide fields to capture data requested in the Schedule of Findings and Questioned Costs (number 9)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.9.1	Total population by program (Pell, FFELP, FDL, FSEOG, FPL, FWS)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.9.1.1	Universe: dollars	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.9.1.2	Universe: Students	Submission & Receipt	Critical	RS 2, #6	

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			2.2.1.9.2	Enrolled, graduated or students on an approved leave of absence by program (Pell, FFELP, FDL, FSEOG, FPL, FWS)	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.9.2.1	Universe: dollars	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.9.2.2	Universe: Students	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.9.2.3	Sample: dollars	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.9.2.4	Sample: Students	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.9.3	Withdrew, dropped or terminated students by program (Pell, FFELP, FDL, FSEOG, FPL, FWS)	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.9.3.1	Universe: dollars refunded	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.9.3.2	Universe: Students	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.9.3.3	Sample: dollars refunded	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.9.3.4	Sample: Students	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.10	The System will provide a field to capture if there are any audit findings present. (10)	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11	The System will provide fields to capture the auditors definition of material non-compliance, by management assertion (11)	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11.1	Institutional Eligibility and Participation	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11.2	Reporting	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11.3	Student Eligibility	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11.4	Disbursements	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11.5	Refunds/Return of Title IV	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11.6	Gaps and Cash Management	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11.7	Perkins Loan	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11.8	Administrative Capabilities	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.11.9	Close Out	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12	The System will provide fields to capture the auditors information on all non-compliance findings (12)	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.1	The System will provide the auditor the capability to submit a narrative of the findings.	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.2	Statement of condition	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.3	Criteria	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.3.1	Audit Guide	Submission & Receipt	Critical	RS 3, Day 2	
			2.2.1.12.3.2	Related Regulations	Submission & Receipt	Critical	RS 3, Day 2	
			2.2.1.12.4	Effect	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.5	Cause	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.6	Recommendation	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.7	Sample size	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.8	Program	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.9	Questioned Costs	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.12.10	Number of Errors	Submission & Receipt	Critical	RS 2, #6	
			2.2.1.13	The System will provide a mechanism for the institution to submit student names/social security numbers of students for all findings if applicable.	Submission & Receipt	Critical	RS 2, #6	Sherry is researching.

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		2.2.1.14	The System will provide fields to capture if an expansion of the sample was necessary (Yes/No/NA) (14)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.14.1	Error Percentage	Submission & Receipt	Critical	RS 3, Day 2	
		2.2.1.14.2	Questioned Costs	Submission & Receipt	Critical	RS 3, Day 2	
		2.2.1.15	The System will provide fields to capture data requested for an expansion of sample if applicable.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.15.1	Sampling Methodology	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.15.2	Confidence Level	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.15.3	Precision	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.15.4	Expected Rate of Occurrence	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.15.5	Estimated Disallowances to the Population including the point estimate and lower/upper limits	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16	The System will provide fields to capture summary Schedule A for student eligibility if applicable.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.1	Student / Number	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.2	Student File Not Found	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.3	Not a Regular Student	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.4	Enrolled < 1/2 Time	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.5	Non-Eligible Citizen	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.6	Invalid SSN	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.7	No Financial Need	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.8	FSA Exceeds Need	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.9	Under Compulsory HS Age	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.10	Missing Statements: ED Purpose	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.11	Missing Statements: On Overpayments & Defaults	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.12	If Applicable: Incomplete Verification	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.13	If Applicable: Not Making SAP	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.14	If Applicable: Failed ATB Test	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.15	If Applicable: ATB Not Doc	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.16	If Applicable: Missing FATs	Submission & Receipt	Low	RS 2, #6	
		2.2.1.16.17	Questioned Costs: FFELP	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.18	Questioned Costs: FDLP	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.19	Questioned Costs: Pell	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.20	Questioned Costs: FSEOG	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.21	Questioned Costs: FWS	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.22	Questioned Costs: FPL	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.16.23	Questioned Costs: Total	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17	The System will provide fields to capture summary Schedule B for disbursements if applicable.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.1	Student / Number	Submission & Receipt	Critical	RS 2, #6	

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		2.2.1.17.2	Credited student's acct more than 10 days before the start of classes: Pell	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.3	Credited student's acct more than 10 days before the start of classes: SEOG	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.4	Credited student's acct more than 10 days before the start of classes: Perkins	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.5	Paid student directly more than 10 days before the 1st day of classes: Pell	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.6	Paid student directly more than 10 days before the 1st day of classes: SEOG	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.7	Paid student directly more than 10 days before the 1st day of classes: Perkins	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.8	Paid student directly more than 10 days before the 1st day of classes: FFEL	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.9	Paid student directly more than 10 days before the 1st day of classes: FDLP	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.10	Released funds to student on LOA: FFEL	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.11	Released funds to student on LOA: FDLP	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.12	Delivered 1st installment before 30 days after the 1st day of classes: FFEL	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.13	Delivered 1st installment before 30 days after the 1st day of classes: FDLP	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.14	Failed to Conduct Counseling: Entrance: FFEL	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.15	Failed to Conduct Counseling: Entrance: FDLP	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.16	Failed to Conduct Counseling: Exit: FFEL	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.17	Failed to Conduct Counseling: Exit: FDLP	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.18	Untimely paid credit balance: FFEL	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.19	Untimely paid credit balance: FDLP	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.20	Made 2nd payment prior to the completion of 1st payment period: Pell	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.21	Incorrect OPE # on loan application: FFEL	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.17.22	Missing signed promissory note: Perkins	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18	The System will provide fields to capture summary Schedule C Refunds if applicable.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.1	Student / Number	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.2	Last day of attendance	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.3	Withdrawal date	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.4	Total School Refund Amount	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.5	Total IPA Refund Amount	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.6	Balance Refund Overpaid/Due	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.7	FFEL: Refund Amount	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.8	FFEL: Refund Due Date (Withdrawal date + 60 days)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.9	FFEL: Refund Check Cleared Date	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.10	FFEL: # of Days Late	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.11	FFEL: Excess Interest Paid By ED (refund amount(# days late/365)*INT)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.12	FFEL: Not Reported on SSCR	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.13	Pell/FDLP/SEOG: Refund Amount	Submission & Receipt	Critical	RS 2, #6	

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Requirement Description				Functional Area	Priority	Source	Notes and Questions
		2.2.1.18.14	Pell/FDLP/SEOG: Refund Due Date (Withdrawal date + 30 days)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.15	Pell/FDLP/SEOG: Refund Check Cleared Date	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.16	Pell/FDLP/SEOG: # of Days Late	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.18.17	Pell/FDLP/SEOG: Imputed to ED (refund amount/(# days late/365)*INT)	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.19	The System will provide a field to capture disclosure of a Pell Adjustment finding (Yes/No).	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.20	The System will provide fields to capture prior year audit findings.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.20.1	The system will provide fields for the auditor to address any prior year findings.	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.21	The System will provide fields to capture the Corrective Action Plan (CAP).	Submission & Receipt	Critical	RS 2, #6	
		2.2.1.22	The system will provide fields to capture institutions included in school group audits.	Submission & Receipt	Critical	Core Team	
		2.2.1.22.1	OPE ID	Submission & Receipt	Critical	Core Team	
		2.2.1.22.2	School Name	Submission & Receipt	Critical	Core Team	
		2.2.1.22.3	Fiscal Year End	Submission & Receipt	Critical	Core Team	
		2.2.1.22.4	School Group	Submission & Receipt	Critical	Core Team	
		2.3	Financial Statements				
		2.3.1	The System will provide templates for users to enter financial data based on institution type:	Submission & Receipt	Critical	RS 2, #52	
		2.3.1.1	Public	Submission & Receipt	Critical	RS 2, #52	
		2.3.1.2	Non-Profit	Submission & Receipt	Critical	RS 2, #52	
		2.3.1.2.1	The system will provide template to input proforma Balance Sheet.	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.1.2.2	Statement of Activities	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.1.2.3	Cash flows from operating activities:	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.1.3	The System will accept the complete non-profit institution financial statements.	Submission & Receipt	Critical	RS 3, Day 2	Need to determine how (upload, pasted, pdf, etc.) during the design phase.
		2.3.1.3	Proprietary	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.1.3.1	The system will provide template to input proforma Balance Sheet.	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.1.3.2	Statement of Income and Retained Earning	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.1.3.3	Statement of Cash Flow	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.1.4	The System will accept the complete proprietary institution financial statements.	Submission & Receipt	Critical	RS 3, Day 2	Need to determine how (upload, pasted, pdf, etc.) during the design phase.
		2.3.2	The System will provide the checks contained in the Primary review for Financial Statements.	Submission & Receipt	Critical	RS	
		2.3.2.1	The system will provide fields to capture type of submission.	Submission & Receipt	Critical	RS	
		2.3.2.1.1	Resubmission	Submission & Receipt	Critical	RS	
		2.3.2.1.2	School Group	Submission & Receipt	Critical	RS	
		2.3.2.1.2.1	The system will provide fields to capture institutions included in the group.	Submission & Receipt	Critical	RS	
		2.3.2.1.2.1.1	OPE ID	Submission & Receipt	Critical	RS	
		2.3.2.1.2.1.2	School Name	Submission & Receipt	Critical	RS	
		2.3.2.1.2.1.3	Fiscal Year End	Submission & Receipt	Critical	RS	
		2.3.2.1.2.1.4	School Group	Submission & Receipt	Critical	RS	
		2.3.2.1.3	Annual Submission	Submission & Receipt	Critical	RS	

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		2.3.2.2	The system will provide fields to capture fiscal year end.	Submission & Receipt	Critical	RS	
		2.3.2.3	The System will provide fields to indicate that the financial statements comply with the following:	Submission & Receipt	Critical	RS	
		2.3.2.3.1	GAAP	Submission & Receipt	Critical	RS	
		2.3.2.3.2	GAGAS	Submission & Receipt	Critical	RS	
		2.3.2.4	The System will provide fields to indicate that all financial statements are included in the opinion.	Submission & Receipt	Critical	RS	
		2.3.2.4.1	Balance Sheet	Submission & Receipt	Critical	RS	
		2.3.2.4.2	Income Statement	Submission & Receipt	Critical	RS	
		2.3.2.4.3	Change in Equity	Submission & Receipt	Critical	RS	
		2.3.2.4.4	Cash Flows (If applicable)	Submission & Receipt	Critical	RS	
		2.3.2.4.5	Consolidated Statements (If applicable)	Submission & Receipt	Critical	RS	
		2.3.2.4.6	Statement of Activities (If applicable)	Submission & Receipt	Critical	RS	
		2.3.2.5	The System will provide fields to capture the opinion type	Submission & Receipt	Critical	RS	
		2.3.2.5.1	Unqualified	Submission & Receipt	Critical	RS	
		2.3.2.5.2	Qualified	Submission & Receipt	Critical	RS	
		2.3.2.5.3	Going Concern	Submission & Receipt	Critical	RS	
		2.3.2.5.4	Disclaimer	Submission & Receipt	Critical	RS	
		2.3.2.5.5	Adverse	Submission & Receipt	Critical	RS	
		2.3.2.5.6	Other	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.2.5.6.1	Unaudited	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.2.5.6.2	Compilation	Submission & Receipt	Critical	RS 3, Day 2	
		2.3.2.6	The System will provide fields to capture the text of the opinion if other than an unqualified opinion.	Submission & Receipt	Critical	RS	
		2.3.2.7	The system will provide fields to capture if there was a change in auditor from the previous year.	Submission & Receipt	Critical	RS	
		2.3.2.7.1	The system will provide fields to capture the current years auditor if there was a change.	Submission & Receipt	Critical	RS	
		2.3.2.8	The system will provide fields to capture notes to the financial statements.	Submission & Receipt	Critical	RS	
		2.3.2.8.1	Going Concern	Submission & Receipt	Critical	RS	
		2.3.2.8.2	Contingent Liabilities	Submission & Receipt	Critical	RS	
		2.3.2.8.3	Debt Agreement Liability	Submission & Receipt	Critical	RS	
		2.3.2.8.4	ED Compliance Issues	Submission & Receipt	Critical	RS	
		2.3.2.8.5	All Other	Submission & Receipt	Critical	RS	
		2.3.2.8.6	Schedules	Submission & Receipt	Critical	RS	
		2.3.2.8.7	Supplemental Information from Consolidated Statements (Chain Schools).	Submission & Receipt	Critical	RS	
		2.3.2.8.8	Income Recognition	Submission & Receipt	Critical	RS	
		2.3.2.8.9	Late Refunds	Submission & Receipt	Critical	RS	
		2.3.2.8.10	Related Party Transactions	Submission & Receipt	Critical	RS	
		2.3.2.8.11	Information	Submission & Receipt	Critical	RS	

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Requirement Description				Functional Area	Priority	Source	Notes and Questions	
			2.3.2.9	The system will pre-populate prior year data in the comparative financial statements.	Submission & Receipt	Phase 2	RS 3	
			2.3.2.10	The system will provide fields to capture the 90/10 revenue attestation for each OPE ID (proprietary and non-profit in the first full year of conversion to proprietary).	Submission & Receipt	Critical	RS	
				Numerator (Title IV, HEA program funds the institution used to satisfy tuition, fees, and other institutional charges to students)	Submission & Receipt	Critical	RS 3, Day 2	
				Denominator (The sum of revenues generated by the institution from: Tuition, fees, and other institutional charges for students enrolled in eligible programs as defined in 34 CFR 668.8; and activities conducted by the institution, to the extent not included in tuition, fees, and other institutional charges that are necessary for the education or training of its students who are enrolled in those eligible programs.)	Submission & Receipt	Critical	RS 3, Day 2	
				percent (numerator/denominator)	Submission & Receipt	Critical	RS 3, Day 3	
			2.3.2.11	The system will provide fields for the auditor to indicate if the institution qualifies as an economic entity for proprietary institutions.	Submission & Receipt	Critical	RS 3, Day 2	
			2.3.2.12	The system will provide fields for the auditor to submit the following reports	Submission & Receipt	Critical	RS 3, Day 2	
			2.3.2.12.1	Report on Financial Statement	Submission & Receipt	Critical	RS 3, Day 2	
			2.3.2.12.2	Report on Internal Controls	Submission & Receipt	Critical	RS 3, Day 2	
			2.3.2.12.3	Report on Compliance with Laws & Regs	Submission & Receipt	Critical	RS 3, Day 2	
			2.4 Data Validation					
			2.4.1	The System will provide "completeness" edit checks that will prevent the submitter from submitting information until the compliance audit is fully filled out.	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.1	Programs Audited	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.2	Period Covered	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.3	Auditor Information	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.4	Audit Guide Used	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.4.1	Must indicate correct guide.	Submission & Receipt	Critical	RS	
			2.4.1.5	GAGAS was followed	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.6	Management Assertions	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.7	Schedule of Findings	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.8	Audit Findings	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.9	Definitions of Material Non-Compliance	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.10	Student Names and SSNs	Submission & Receipt	Low	RS 1, #45	UNDER REVIEW - TEAM will need to determine how this information can be received without violating privacy concerns.
			2.4.1.11	Expansion of Sample Information	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.12	Schedules A, B, C if required	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.13	Pell Adjustment Information	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.14	Prior Audit Findings	Submission & Receipt	Critical	RS 1, #45	
			2.4.1.15	Corrective Action Plan	Submission & Receipt	Critical	RS 1, #45	
			2.4.2	The System will provide "completeness" edit checks that will prevent the submitter from submitting information until the financial statement is fully filled out.	Submission & Receipt	Critical	RS 1, #46	
			2.4.2.1	Compliance with GAAP	Submission & Receipt	Critical	RS 1, #46	
			2.4.2.2	Compliance with GAGAS	Submission & Receipt	Critical	RS 1, #46	
			2.4.2.3	Auditor Opinion	Submission & Receipt	Critical	RS 1, #46	
			2.4.2.4	Change in Auditor	Submission & Receipt	Critical	RS 1, #46	
			2.4.2.5	Notes to the financial statements	Submission & Receipt	Critical	RS 1, #46	

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Requirement Description					Functional Area	Priority	Source	Notes and Questions
			2.4.2.6	90/10 Attestation (if applicable)	Submission & Receipt	Critical	RS 1, #46	
			2.4.2.7	Period Covered	Submission & Receipt	Critical	RS 1, #46	
			2.4.2.8	Required fields from the financial statements	Submission & Receipt	Critical	RS 1, #46	
			2.4.2.9	Required financial statements	Submission & Receipt	Critical	RS 3, Day 2	
3	Submission							
		3.1	General					
			3.1.1	The System will allow the institution user to save their work before it is submitted.	Submission & Receipt	High	RS 1, #47	
			3.1.2	The system will allow the auditor to grant the institution write access to an entered compliance audit in order to make corrections prior to performing the attestation.	Submission & Receipt	High	RS 3	
			3.1.3	The system will allow the auditor to grant the institution write access to entered financial statements in order to make corrections prior to performing the attestation.	Submission & Receipt	High	RS 3	
			3.1.4	The system will prevent institutions/auditors from re-submitting an audit after a submission has been received by the department.	Submission & Receipt	High	RS 3, Day 2	
			3.1.4.1	The system will provide a message to the institution/auditor that the audit has already been submitted and to contact the Case Team if there is an attempt to resubmit an audit.	Submission & Receipt	High	Sherry Quade - requirements deliverable feedback	
			3.1.5	The system will prevent institutions/auditors from re-submitting financial statements after a submission has been received by the department.	Submission & Receipt	High	RS 3	
			3.1.5.1	The system will provide a message to the institution/auditor that the financial statements have already been submitted and to contact the Case Team if there is an attempt to resubmit financial statements.	Submission & Receipt	High	Sherry Quade - requirements deliverable feedback	
			3.1.6	The System will provide ED users the ability to allow institutions/auditors to re-submit on a case-by-case basis.	Submission & Receipt	High	RS 3, Day 2	
			3.1.7	The system will track the date of all submissions.				
			3.1.8	The system will calculate the number of days late for financial statements submitted late.	Submission & Receipt	High	RS 3	
			3.1.9	The system will calculate the number of days late for compliance audits submitted late.	Submission & Receipt	High	RS 3	
			3.1.10	The system will provide a printer friendly version of submitted financial statements.	Submission & Receipt	High	RS 2	
			3.1.11	The system will provide a printer friendly version of submitted compliance audits.	Submission & Receipt	High	RS 2	
		3.2	Review					
			3.2.1	The System will provide the auditor edit capability for all fields on the compliance audit prior to submission of data.	Submission & Receipt	Critical	RS 1, #26	
			3.2.2	The System will provide the auditor edit capability for all fields on the financial statements prior to submission of data.	Submission & Receipt	Critical	RS 1, #27	
		3.3	Attestation					
			3.3.1	The System will stage institution data for auditor attestation.	Submission & Receipt	Critical	RS 1, #25	
			3.3.2	The System will perform electronic verification of the auditor's certification.	Submission & Receipt	Low	RS 1	
			3.3.3	The system will allow for different auditors to perform the attestations for the financial statements and compliance audit.	Submission & Receipt	Critical	RS 3	
			3.3.3.1	The system will send a notification to the institution when the audit has been submitted without the financial statements.	Submission & Receipt	Critical	RS 3	
			3.3.3.2	The system will send a notification to the institution when the financial statements has been submitted without the audit.	Submission & Receipt	Critical	RS 3	
			3.3.4	The system will provide notification to the auditor upon attestation and submission of an audit.	Submission & Receipt	Critical	RS 2	
			3.3.5	The system will provide notification to the auditor upon attestation and submission of financial statements.	Submission & Receipt	Critical	RS 2	
		3.4	Receipt					
			3.4.1	The System will receive the public school financial backing letter.	Submission & Receipt	Low	RS 1, #43	
			3.4.2	The System will allow appropriate ED users to record receipt of the public school financial backing letter.	Submission & Receipt	Critical	RS 3, Day 2	
4	Screening							
		4.1	General					
			4.1.1	The system will assign an Audit Control Number (ACN) to each institution's FSA compliance audit/financial statement submission.		Critical	Requirements Team	
			4.1.2	The system will capture the ACN from the FAC for all A-133 audits.		Critical	Requirements Team	
			4.1.3	The system will track institutions that are provisionally certified.		Critical	Core Team	
		4.2	Audit					
			4.2.1	Code Findings				

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Requirement Description				Functional Area	Priority	Source	Notes and Questions
		4.2.1.1	The System will provide appropriate ED Users the ability to apply deficiency codes to the findings for submitted audits.	Audit	Critical	RS 2, #36	
		4.2.1.1.1	The system will allow for each finding code to be assigned to the appropriate institution within the school group.		Critical	Core Team	
		4.2.1.2	The System will provide appropriate ED Users the ability to assign questioned costs per finding.	Audit	Critical	RS 3, Day 2	
		4.2.1.2.1	The system will allow for each questioned costs to be assigned to the appropriate institution within the school group.		Critical	Core Team	
		4.2.2	Calculations				
		4.2.2.1	The System will determine deficiency indicator based on the finding codes.	Audit	Critical	RS 2, #37	
		4.2.2.2	The System will calculate the error rate (based on # of noncompliant items/sample size)	Submission & Receipt	Critical	RS 2, #6	
		4.2.3	Flagging				
		4.2.3.1	The System will DESIGNATE an audit as deficient based on	Audit	Critical	RS 2, #35	
		4.2.3.1.1	Deficiency Indicator of 1 based on coding of the findings	Audit	Critical	RS	
		4.2.3.1.2	Closeout Audit	Audit	Critical	RS	
		4.2.3.1.3	Opinion other than unqualified	Audit	Critical	RS	
		4.2.3.2	The System will flag audits if any of the following conditions are present.	Audit	Critical	RS 1, #49	
		4.2.3.2.1	Pell adjustment present	Audit	Critical	RS 2, #6	
		4.2.3.2.2	Prior year submissions missing (past performance)	Audit	Critical	RS	
		4.2.3.2.3	Presence of a refund finding with an error rate greater than 5% and more than 1 error	Audit	Critical	RS	
		4.2.3.2.4	Resubmissions	Audit	Critical	RS	
		4.3 Finance					
		4.3.1	Calculations				
		4.3.1.1	The System will calculate a composite score based on the data entered in the financial statements	Financial Statements	Critical	RS 2, #55	
		4.3.1.1.1	The systems will calculate the following ratios based on financial data submitted	Financial Statements	Critical	RS 2, #55	
		4.3.1.1.1.1	Primary Reserve Ratio	Financial Statements	Critical	RS 2, #55	
		4.3.1.1.1.2	Equity Ratio	Financial Statements	Critical	RS 2, #55	
		4.3.1.1.1.3	Net Income Ratio	Financial Statements	Critical	RS 2, #55	
		4.3.1.1.2	The system will apply strength factors to the ratios calculated, by type of institution	Financial Statements	Critical	RS 2, #55	
		4.3.1.1.3	The system will apply a weighting percentage to the strength factor score, by type of institution	Financial Statements	Critical	RS 2, #55	
		4.3.1.1.4	The system will calculate an acid test ratio and tangible net worth for same day balance sheet date	Financial Statements	Critical	RS 3, Day 2	
		4.3.1.2	The System will track a "revision" history and historic record of composite scores.	Financial Statements	Critical	RS 1, #74	
		4.3.2	Flagging				
		4.3.2.1	The System will flag the financial statement if the following conditions are present	Financial Statements	Critical	RS 1	
		4.3.2.1.1	Composite score:	Financial Statements	Critical	RS 1	
		4.3.2.1.1.1	Failed	Financial Statements	Critical	RS 1	
		4.3.2.1.1.2	Zone	Financial Statements	Critical	RS 1	
		4.3.2.1.2	Other than unqualified opinion	Financial Statements	Critical	RS 1	
		4.3.2.1.3	Violation of Debt Agreement	Financial Statements	Critical	RS 1	
		4.3.2.1.4	Change in auditor	Financial Statements	Critical	RS 1	
		4.3.2.1.5	Going concern	Financial Statements	Critical	RS 1	
		4.3.2.1.6	Prior year submissions missing (past performance)	Financial Statements	Critical	RS 3, Day 2	
		4.3.2.1.7	Letter of credit	Financial Statements	Critical	RS 3, Day 2	
		4.3.2.1.8	Contingent liabilities and income recognition, late refunds	Financial Statements	Critical	RS 3, Day 2	
		4.3.2.1.9	Resubmissions	Financial Statements	Critical	RS 3, Day 2	
		5 Workflow					
		5.1 General					
		5.1.1	The System will have a queuing mechanism for routing information to the Case Teams.	Case Management	Critical	RS	
		5.1.2	The system will queue reminder letters for team approval.	Case Management	High	RS 3, Day 2	
		5.1.2.1	The system will automatically send reminder letters if no action is taken within a specific period of time.	Case Management	High	RS	
		5.1.3	The system will forward all system generated correspondence to schools to a staging area prior to sending.	Case Management	High	RS 3, Day 2	
		5.1.4	The system will present staged emails as follows:	Case Management	High	RS 3, Day 2	
		5.1.4.1	Sorted by type	Case Management	High	RS 3	
		5.1.4.2	Viewable by contents	Case Management	High	RS 3	
		5.1.4.3	Approve/Hold/Delete capability	Case Management	High	RS 3	
		5.1.5	The system will allow all emails in the staging area that are marked "Approved" to be sent at the users command.	Case Management	High	RS 3, Day 2	
		5.2 Queue					
		5.2.1	The System will have a queuing mechanism for all submissions by A-133, FSA Audits, FSA financial statement.	Submission & Receipt	Critical	RS 1, #7	
		5.2.2	The System will have a queuing mechanism for compliance audits that need deficiency codes assigned and a review of sample expansion.	Case Management	Critical	RS 3, Day 2	
		5.2.3	The System will queue all submitted financial statements for the case team to view, by team	Case Management	Critical	RS 2, #58	

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Requirement Description				Functional Area	Priority	Source	Notes and Questions
		5.2.3.1	The System will queue all non-flagged financial statements as green (no flags, above 1.5 composite score)	Financial Statements	High	RS 2, #59	
		5.2.3.2	The System will queue flagged financial statements as Yellow (zone)	Financial Statements	High	RS 2, #60	
		5.2.3.3	The System will allow for predictive analysis measures to impact the queuing of the financial statement.	Financial Statements	Low	RS	
		5.2.3.4	The system will queue flagged financial statements as red for those with:	Financial Statements	High	RS 2, #61	
		5.2.3.4.1	late refunds	Financial Statements	High	RS 2, #61	
		5.2.3.4.2	going concern	Financial Statements	High	RS 2, #61	
		5.2.3.4.3	failed composite score	Financial Statements	High	RS 2, #61	
		5.2.3.4.4	other than unqualified opinion	Financial Statements	High	RS 2, #61	
		5.2.3.4.5	violation debt agreement	Financial Statements	High	RS 2, #61	
		5.2.3.4.6	change in auditor	Financial Statements	High	RS 2, #61	
		5.2.3.4.7	provisional certification	Financial Statements	High	RS 2, #61	
		5.2.3.4.8	prior year submissions missing (past performance)	Financial Statements	High	RS 2, #61	
		5.2.3.4.9	letter of credit	Financial Statements	High	RS 2, #61	
		5.2.3.4.10	contingent liabilities and income recognition	Financial Statements	High	RS 2, #61	
		5.2.4	The System will queue all submitted compliance audits for the case team to view, by team	Audit	High	RS	
		5.2.4.1	The System will queue all non-deficient compliance audits as green.	Audit	High	RS	
		5.2.4.2	The System will queue all non-deficient, flagged audits as yellow.	Audit	High	RS	
		5.2.4.3	The System will queue all deficient compliance audits as red.	Audit	High	RS	
		5.2.5	The System will queue the Audit Clearance Document (ACD) for Co-Team Approval.	Case Management	High	RS	
		5.2.6	The System will queue the Deficiency Data Input Form (DDIF) for Co-Team Approval.	Case Management	High	RS	
		5.2.7	The System will queue the FAD for Co-Team Approval.	Case Management	High	RS	
		5.2.8	The system will have a queuing mechanism for audits that are not submitted with the financial statements.	Submission & Receipt	Critical	RS 3	
		5.2.9	The system will have a queuing mechanism for financial statements that are not submitted with the audit.	Submission & Receipt	Critical	RS 3	
		5.2.10	The system will sort all audits and financial statements by receipt date.	Submission & Receipt	Critical	RS 3, Day 2	
	6 Case Management						
		6.1 General					
		6.1.1	The System will allow the Case Teams to produce a printer-friendly version of the Compliance Audit that includes the date/time stamp.	Case Management	High	RS	
		6.1.2	The System will allow the Case Teams to produce a printer-friendly version of the Financial Statements that includes the data/time stamp.	Case Management	High	RS	
		6.1.3	The System will include a date/time stamp on all versions of documents.	Case Management	High	RS	
		6.1.4	The System will have a tracking mechanism that applies a status to all submitted audits.	Case Management	High	RS	
		6.1.5	The system will provide the ability to view an institutions Title IV eligibility status.	Case Management	High	RS 3	
		6.1.5.1	The system will provide the ability to view the conditions for provisionally approved institutions.	Case Management	High	RS 3	
		6.2 Audit					
		6.2.1	Case Resolution				
		6.2.1.1	The System will allow deficiency calculation to be performed on an audit at any point in the process, even after deficiency determination has been made.	Case Management	Critical	RS1, #53	
		6.2.1.2	The System will record the date when the compliance audit is routed to the Case Team. (Issue date)	Case Management	High	PIP Memo 97 - 20 (p.5)	
		6.2.1.3	The System will calculate the resolution due date, by which Case Team must resolve the compliance audit.	Case Management	High	PIP Memo 97 - 20 (p.5)	
		6.2.1.4	The System will provide the Co-Team leader the ability to assign audits to a case team member.	Case Management	High	PIP Memo 97 - 20 (p.8)	
		6.2.1.5	The System will determine whether or not the institution is current with all audit submissions.	Case Management	High	Communication with Mr. Charles Thompson	
		6.2.1.6	The System will automatically prepopulate the body of the FAD with each individual finding from coding.	Case Management	High	RS	
		6.2.1.6.1	The system will allow appropriate ED users the ability to edit finding codes.	Case Management	High	RS	
		6.2.1.7	The System will automatically prepopulate the body of the FAD with dollar amount per finding from coding.	Case Management	High	RS	
		6.2.1.8	The System will automatically prepopulate the body of the FAD with the cited Regulation number based on the deficiency code.	Case Management	Low	RS	
		6.2.1.8.1	The System will provide a link to the IFAP Website to view the full text of the regulation.	Case Management	Low	Core Team	
		6.2.1.9	The System will track the ACD liability amounts.	Case Management	High	RS	
		6.2.1.10	The System will track the DDIF liability amounts.	Case Management	High	RS	
		6.2.1.11	The System will record the following information:	Case Management	High	PEPS Screen Shots	
		6.2.1.11.1	Lead Specialist	Case Management	High	PEPS Screen Shots	
		6.2.1.11.2	Responsible Specialist	Case Management	High	PEPS Screen Shots	
		6.2.1.11.3	Assign Date	Case Management	High	PEPS Screen Shots	
		6.2.1.11.4	Review Begin Date	Case Management	High	PEPS Screen Shots	
		6.2.1.11.5	Completion Date	Case Management	High	PEPS Screen Shots	
		6.2.1.11.6	Questioned Cost	Case Management	High	PEPS Screen Shots	

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Requirement Description				Functional Area	Priority	Source	Notes and Questions
		6.2.1.11.7	Unsupported Cost	Case Management	High	PEPS Screen Shots	
		6.2.1.11.8	Other Recoveries	Case Management	High	PEPS Screen Shots	
		6.2.1.11.9	Non Monetary	Case Management	High	PEPS Screen Shots	
		6.2.1.11.10	Not Recoverable	Case Management	High	PEPS Screen Shots	
		6.2.1.11.11	Addl. Recommended	Case Management	High	PEPS Screen Shots	
		6.2.1.11.12	Total Recoverable	Case Management	High	PEPS Screen Shots	
		6.2.1.11.13	Already Recovered	Case Management	High	PEPS Screen Shots	
		6.2.1.11.14	Adjustment on Site	Case Management	High	PEPS Screen Shots	
		6.2.1.11.15	Other	Case Management	High	PEPS Screen Shots	
		6.2.1.11.16	Net to be Collected	Case Management	High	PEPS Screen Shots	
		6.2.1.11.17	Improper Funds	Case Management	High	PEPS Screen Shots	
		6.2.1.11.18	Interest	Case Management	High	PEPS Screen Shots	
		6.2.1.11.19	Other Interest	Case Management	High	PEPS Screen Shots	
		6.2.1.11.20	Liquidation	Case Management	High	PEPS Screen Shots	
		6.2.1.11.21	Document Number	Case Management	High	PEPS Screen Shots	
		6.2.1.11.22	Fund Code	Case Management	High	PEPS Screen Shots	
		6.2.1.11.23	Project Code	Case Management	High	PEPS Screen Shots	
		6.2.1.11.24	Object Class	Case Management	High	PEPS Screen Shots	
		6.2.1.11.25	Deficiency Code	Case Management	High	PEPS Screen Shots	
		6.2.1.11.26	Deficiency Description	Case Management	High	PEPS Screen Shots	
		6.2.1.11.27	Deficiency Type	Case Management	High	PEPS Screen Shots	
		6.2.1.11.28	Sample Error	Case Management	High	PEPS Screen Shots	
		6.2.1.11.29	Sample Size	Case Management	High	PEPS Screen Shots	
		6.2.1.11.30	Sample percent	Case Management	High	PEPS Screen Shots	
		6.2.1.11.31	Question	Case Management	High	PEPS Screen Shots	
		6.2.1.11.32	Liability Appeal	Case Management	High	PEPS Screen Shots	
		6.2.1.11.33	Repayment Method Codes	Case Management	High	PEPS Screen Shots	
		6.2.1.11.34	Repayment Amount	Case Management	High	PEPS Screen Shots	
		6.2.1.12	The system will track the date that the co-team leader approves the resolution of the audit (ACD, FAD, DDIF - must all have same date)	Case Management	High	RS 3, Day 2	
		6.2.1.13	The System will allow the Case Team to update the dollar amounts on the FAD, per finding.	Case Management	High	RS	
		6.2.1.14	The System will provide Case Team users the ability to edit Audit Clearance Document (ACD).	Case Management	High	RS	
		6.2.1.15	The System will provide Case Team users the ability to edit Final Audit Determination (FAD).	Case Management	High	RS	
		6.2.1.16	The System will provide Case Team users the ability to edit Deficiency Data Input Form (DDIF).	Case Management	High	RS	
		6.2.1.17	The system will provide view access to the liaison for career institutions for the FAD.	Case Management	High	RS	
		6.2.1.18	The system will provide view access to the Direct Loan Program for the FAD.	Case Management	High	RS	
		6.2.1.19	The system will provide view access to ED users for the FAD.	Case Management	High	RS	
		6.2.1.20	The system will provide view access to ED users for the ACD.	Case Management	High	RS	
		6.2.1.21	The system will provide view access to ED users for the DDIF.	Case Management	High	RS	
		6.2.1.22	The System will allow case users to adjust/add/delete findings codes.	Case Management	High	RS 2, #45	
		6.2.1.23	The system will allow for the concurrent view of prior year and current years audit.	Case Management	Future	RS 3	
		6.2.1.24	The system will have edit checks to verify that the amounts entered on the ACD and DDIF are equal.	Case Management	High	Core Team	
		6.2.2	Communication				
		6.2.2.1	The system will allow notification to Institutions	Submission & Receipt	High	RS	
		6.2.2.1.1	The System will provide a confirmation message that includes the language included in the issuance letter to the institutions upon receipt of the audit.	Submission & Receipt	High	RS 1, #17	
		6.2.2.1.2	The System will send a reminder letter via email to all Title IV institutions Financial Aid Directors and Presidents 60 days prior to submission due date.	Submission & Receipt	High	RS 1, #20	
		6.2.2.1.3	The System will send a second reminder letter via email to all Title IV institutions Financial Aid Directors and Presidents 30 days prior to submission due date.	Submission & Receipt	High	RS 3	
		6.2.2.1.4	The System will send a delinquent letter to the Financial Aid Director and School President the 31st day after the institution's submission deadline has passed if no compliance audit has been received.	Submission & Receipt	High	RS 3	
		6.2.2.1.5	The System will send a delinquent letter to the Financial Aid Director and School President 45 days after the institution's submission deadline has passed if no compliance audit has been received.	Submission & Receipt	High	RS 3	
		6.2.2.1.5.1	The letter will indicate referral to AAA.	Submission & Receipt	High	RS 3, Day 2	
		6.2.2.1.6	The System will track correspondence sent to OGC.	Case Management	Medium	Meeting	
		6.2.2.1.7	The system will provide communication log/mechanism for Case Teams communication with Administration Actions and Appeals (AAA) Division.	Case Management	Medium	PIP Memo 97 - 20 (p.10)	
		6.2.2.1.8	The system will provide communication log/mechanism for Case Teams communication with Office of Inspector General (OIG).	Case Management	Medium	PIP Memo 97 - 20 (p.10)	
		6.2.2.1.9	The system will provide communication log/mechanism for Case Teams communication with Office of General Counsel (OGC).	Case Management	Medium	PIP Memo 97 - 20 (p.10)	

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Requirement Description				Functional Area	Priority	Source	Notes and Questions
		6.2.2.1.10	The System will track correspondence between the Audit Resolution Specialist (ARS) and Auditor.	Case Management	Medium	PIP Memo 97 - 20 (p.12)	
		6.2.2.1.11	The System will track correspondence between the Audit Resolution Specialist and the institution.	Case Management	Medium	PIP Memo 97 - 20 (p.12)	
		6.2.2.1.12	The System will post FAD to a self-service area.	Case Management	Medium	RS	
		6.2.2.1.13	The System will send a notification to the institution when the FAD is posted to a self-service area.	Case Management	Medium	RS	
		6.2.2.1.14	The System will record the date when the FAD is posted on the self-service area.	Case Management	Medium	PIP Memo 97 - 20 (p.28)	
		6.2.2.1.15	The System will record the date when the institution views FAD on the self-service area.	Case Management	Medium	PIP Memo 97 - 20 (p.28)	
		6.2.2.1.16	The System will create FAD cover letter.	Case Management	Medium	PIP Memo 97 - 20 (p.28)	
		6.2.2.1.16.1	The System will pre-populate following fields/elements in the heading of the FAD cover letter:	Case Management	Medium	RS	
		6.2.2.1.16.1.1	Audit Control Number	Case Management	Medium	PIP Memo 97 - 20 (p.29)	
		6.2.2.1.16.1.2	OPE ID Number	Case Management	Medium	PIP Memo 97 - 20 (p.29)	
		6.2.2.1.16.1.3	Name of the President/Owner of the institution for FSA audits	Case Management	Medium	PIP Memo 97 - 20 (p.29)	
		6.2.2.1.16.1.4	Name of the designated official for the A-133 audits	Case Management	Medium	PIP Memo 97 - 20 (p.29)	
		6.2.2.1.16.2	The system will pull all Presidents included in a state school group for the appropriate ED User to view on screen.	Case Management	Medium	RS 3, Day 2	
		6.2.2.1.16.3	The system will provide the ability to the Audit Resolution Specialist to record in the Repayment Instructions the dollar amount of liability by finding number in the audit report.	Case Management	Medium	PIP Memo 97 - 20 (p.31)	
		6.2.2.1.16.4	The system will provide the ability to the Audit Resolution Specialist to record in the Repayment Instructions a contact point and telephone number for questions regarding the repayment instructions.	Case Management	Medium	PIP Memo 97 - 20 (p.31)	
		6.2.2.1.17	The system will allow ARS to send ACD DRAFT and message requesting concurrence for OIG when audit report has TOTAL questioned costs of \$500,000 or greater.	Case Management	Medium	RS 3	
		6.2.2.1.18	The system will send a reminder letter to closed institutions 45 days after the closure letter was sent if a closeout audit has not been received.	Case Management	Medium	Core Team	
		6.2.2.2	Feedback from Institutions				
		6.2.2.2.1	The system will accept further explanation required from the institution	Case Management	Medium	RS 3, Day 2	
		6.2.2.2.1.1	The system will allow institutions to submit additional information regarding findings that exceed an error rate of 10%.	Case Management		RS 3, Day 2	
		6.2.2.2.1.2	The system will allow the auditor to attest to additional information submitted.	Case Management		RS 3, Day 2	
		6.2.2.2.2	The system will allow institutions to submit information regarding appeals.	Case Management	Medium	RS 3	
		6.2.2.2.3	The system will allow institutions to submit information regarding expansion of the sample.	Case Management	Medium	RS 3	
		6.2.2.3	Internal Notifications				
		6.2.2.3.1	The System will allow the Audit Resolution Specialist to create Deficiency Data Input Form (DDIF).	Case Management	Medium	PIP Memo 97 - 20 (p.33)	
		6.2.2.3.1.1	The System will record the date Deficiency Data Input Form (DDIF) was created.	Case Management	Medium	PIP Memo 97 - 20 (p.33)	
		6.2.2.3.1.2	The System will provide the following fields/elements on the DDIF:	Case Management	Medium	PIP Memo 97 - 20 (p.33)	
		6.2.2.3.1.2.1	Name of Institution	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.2	State in which the institution is located	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.3	OPE ID	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.4	Audit Control Number	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.5	Date audit was assigned by Co-Team Leader to ARS	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.6	Review Begin Date	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.7	Completion Date	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.8	Name of the lead ARS who resolved the audit	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.9	Name of the responsible specialist	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.10	Type of entry	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.10.1	The system will offer following selection for Entry Type on the DDIF: A -- Add a Code C -- Change a Code D -- Delete a Code E -- Establish Liability U -- Update a Liability			PIP Memo 97 -15	
		6.2.2.3.1.2.11	Original Code Number	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.12	Revised Code number	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.13	Specialist Liability	Case Management	Medium	PIP Memo 97 -15	

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Requirement Description				Functional Area	Priority	Source	Notes and Questions
		6.2.2.3.1.2.14	Repayment Method	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.14.1	The system will offer following selection for the repayment methods on the DDIF: B -- Loan Discharge C -- Cash Returned to Federal Account at Institution D -- Funds to Direct Loan Origination Center E -- Education Finance Accounts Receivable L -- Not Required to Pay Assessed Liability Amount <\$1000 N -- Check to Perkins Loan Fund R -- Repayment to FFEL Program S -- Repayment to Student T -- Fine V -- Paid to ED	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.15	Correspondence Type	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.15.1	The System will offer the following selection on Correspondence types on DDIF: A -- Additional Information C -- Closure I -- Institutional Response O -- Assessing Liability for Missing Close-Out Audit R -- Appeal Resolution S -- Special T -- Transmittal X -- Transmittal and Closure Z -- Solicit 3070 Documents Q -- Denied 3070 Request P -- Approved 3070 Request 8 -- Audit on Hold (used by DMAD) 1 -- Missing Audit Letter 5 -- Audit Engagement Letter 6 -- Phone call N -- Requesting Missing close-out audit	Case Management	Medium	DDIF	
		6.2.2.3.1.2.16	Sender Organization	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.17	Receiver Date	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.18	Receiver Organization	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.1.2.19	Reply Due Date	Case Management	Medium	PIP Memo 97 -15	
		6.2.2.3.2	The System will allow the ARS to create the Audit Clearance Document (ACD).	Case Management	Medium	PIP Memo 97 - 20 (p.33)	
		6.2.2.3.2.1	The system will offer following selection for the types of entry on the ACD: Original Amended Revised ACD Revised FAD Compromise Settlement	Case Management	Medium	ACD	
		6.2.2.3.2.2	The Audit Clearance Document Template will have following fields in the heading: Audit Control Number Original Date Date Auditee Name State OPEID TIN	Case Management	Medium	ACD	
		6.2.2.3.2.3	The System will record the date Audit Clearance Document (ACD) was created.	Case Management	Medium	ACD	
		6.2.2.3.3	The system will provide notification to the Case Teams and AAA when a delinquent audit has been referred (45 days late).	Case Management	Medium	RS 3	
		6.2.2.3.4	The System will provide OIG with the ability to state/ post guidance for the case team on compliance with audit requirements.	Case Management	Low	PIP Memo 97 - 20 (p.10)	
		6.2.2.3.5	The System will provide OIG with the ability to state/post findings of Quality Control Reviews.	Case Management	Low	PIP Memo 97 - 20 (p.10)	
		6.2.2.3.6	The System will provide OGC with the ability to state/post state legal guidance.	Case Management	Low	PIP Memo 97 - 20 (p.10)	
		6.2.2.3.7	The system will provide notification to the Case Teams if a closeout audit has not been received 90 days after the closure was sent.	Case Management	High	Core Team	
		6.2.2.3.8	The system will allow ARS to send FAD DRAFT and message requesting concurrence for OGC when total audit liability assessed is \$100,000 or greater.	Case Management	Medium	PIP Memo 97 - 20 (p.28)	
		6.2.2.3.9	The system will allow ARS to send FAD DRAFT and message requesting concurrence for OIG when audit report has TOTAL questioned costs of \$500,000 or greater.	Case Management	Medium	PIP Memo 97 - 20 (p.28)	
		6.2.2.3.10	The system will allow ARS to send FAD DRAFT and message requesting concurrence for OGC when audit report has TOTAL questioned costs of \$500,000 or greater.	Case Management	Medium	PIP Memo 97 - 20 (p.28)	
		6.3 Financial Statements					
		6.3.1	Case Resolution				

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Requirement Description				Functional Area	Priority	Source	Notes and Questions
		6.3.1.2	The System will identify the reason for flagging:	Case Management	High	RS	
		6.3.1.2.1	Composite Score	Case Management	High	RS	
		6.3.1.2.1.1	Failed	Case Management	High	RS	
		6.3.1.2.1.2	Zone	Case Management	High	RS	
		6.3.1.2.2	Other than unqualified opinion	Case Management	High	RS 3, Day 2	
		6.3.1.2.3	Violation of Debt Agreement	Case Management	High	RS 3, Day 2	
		6.3.1.2.4	Change in auditor	Case Management	High	RS 3, Day 2	
		6.3.1.2.5	Going concern	Case Management	High	RS 3, Day 2	
		6.3.1.2.6	Late Refund	Case Management	High	RS	
		6.3.1.3	The System will provide the financial reviewers the ability to change/edit the financial data used to calculate the composite score.	Case Management	High	Communication with Mr. Charles Thompson	
		6.3.1.4	The System will provide the financial reviewer the ability to make determination:	Case Management	High	RS 3, Day 2	
		6.3.1.4.1	LOC and percentage	Case Management	High	RS 3, Day 2	
		6.3.1.4.2	Zone-Heightened-Cash Monitoring 1	Case Management	High	RS 3, Day 2	
		6.3.1.4.3	Zone-Heightened-Cash Monitoring 2	Case Management	High	RS 3, Day 2	
		6.3.1.4.4	Reimbursement	Case Management	High	RS 3, Day 2	
		6.3.1.5	The system will allow the Case Team member to enter LOC fields:	Case Management	High	RS 3, Day 2	
		6.3.1.5.1	Fiscal Year End	Case Management	High	RS 3, Day 2	
		6.3.1.5.2	Surety Due Date (LOC)	Case Management	High	RS 3, Day 2	
		6.3.1.5.3	Amount	Case Management	High	RS 3, Day 2	
		6.3.1.5.4	% Funding	Case Management	High	RS 3, Day 2	
		6.3.1.5.5	Request Date	Case Management	High	RS 3, Day 2	
		6.3.1.5.6	Reason Requested	Case Management	High	RS 3, Day 2	
		6.3.1.5.7	Extended Due date	Case Management	High	RS 3, Day 2	
		6.3.1.5.8	Reason Ext. Grant	Case Management	High	RS 3, Day 2	
		6.3.1.5.9	Date Surety Received	Case Management	High	RS 3, Day 2	
		6.3.1.5.10	Date Surety Expires	Case Management	High	RS 3, Day 2	
		6.3.1.5.11	Release Date	Case Management	High	RS 3, Day 2	
		6.3.1.5.12	LOC Number (alphanumeric and allow for leading zeros)	Case Management	High	RS 3, Day 2	
		6.3.1.5.13	Amended LOC	Case Management	High	RS 3, Day 2	
		6.3.1.5.14	Analyst ID	Case Management	High	RS 3, Day 2	
		6.3.1.5.15	Analyst Name	Case Management	High	RS 3, Day 2	
		6.3.1.5.16	Bank Account Information	Case Management	High	RS 3, Day 2	
		6.3.1.5.17	Notes field	Case Management	High	RS 3, Day 2	
		6.3.1.6	The system will allow the appropriate Ed user to amend Surety Record (LOC).	Case Management	High	RS 3, Day 2	
		6.3.1.7	The system will allow for the concurrent view of prior year and current years audit.	Case Management	High	RS 3	
		6.3.1.8	The System will provide the Co-Team leader the ability to assign financial statements to a case team member.	Case Management	High	RS 3	
		6.3.1.9	The System will record the date when the financial statements is routed to the Case Team. (Issue date)	Case Management	High	RS 3	
		6.3.1.10	The System will calculate the resolution due date, by which Case Team must resolve the financial statements.	Case Management	High	RS 3	
		6.3.2	Communication				
		6.3.2.1	The system will provide notification to Institutions				
		6.3.2.1.1	The System will generate Delinquency Letter.	Financial Statements	Medium	PIP Memo 97 -10, p.9	
		6.3.2.1.2	The system will create standardized text template for the Delinquency Letter.	Financial Statements			
		6.3.2.1.3	The System will prepopulate the following data on the Delinquency Letter:	Financial Statements	Medium	Delinquency Letter	
		6.3.2.1.3.1	Date	Financial Statements	Medium	Delinquency Letter	
		6.3.2.1.3.2	OPEID Number	Financial Statements	Medium	Delinquency Letter	
		6.3.2.1.3.3	TIN	Financial Statements	Medium	Delinquency Letter	
		6.3.2.1.3.4	Name of the President	Financial Statements	Medium	Delinquency Letter	
		6.3.2.1.3.5	Institution's Name	Financial Statements	Medium	Delinquency Letter	
		6.3.2.1.3.6	Institution's Address	Financial Statements	Medium	Delinquency Letter	
		6.3.2.1.4	The System will generate a standardized text template for the Zone/Cash Monitoring Letter with edit capability.	Case Management	Medium	RS	
		6.3.2.1.5	The System will generate a standardized text template for the Request for Letter of Credit (LOC) with edit capability.	Case Management	Medium	RS	
		6.3.2.1.5.1	The System will print the Request for Letter of Credit (LOC).	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.5.2	The System will send via email requests for LOCs up to 1 million dollars and post them to the self-service area.	Case Management	High	RS 3, Day 2	
		6.3.2.1.5.3	The System will prohibit requests for LOCs in excess of 1 million dollars to be sent via Email.	Case Management	High	RS 3, Day 2	
		6.3.2.1.5.3.1	LOC in excess of 1 million to be sent via certified mail.	Case Management	High	RS 3, Day 2	
		6.3.2.1.5.4	The system will provide view access to the institution's president for LOC.	Case Management	Medium	Focus Group and Site Visit Summaries	
		6.3.2.1.5.5	The system will provide view access to the Financial Aid Administrator for LOC.	Case Management	Medium	Focus Group and Site Visit Summaries	
		6.3.2.1.5.6	The system will provide view access to CFO for LOC.	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.6	The System will send a reminder letter via email to all Title IV institutions Financial Aid Directors 60 days prior to submission due date.	Case Management	High	RS 3	

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		6.3.2.1.6.1	The System will send a reminder letter via email to all Title IV institutions Presidents 60 days prior to submission due date.	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.6.2	The System will send a reminder letter via email to CFO 60 days prior to submission due date.	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.7	The System will send a second reminder letter via email to all Title IV institutions Presidents 30 days prior to submission due date.	Case Management	High	RS 3	
		6.3.2.1.7.1	The System will send a second reminder letter via email to all Title IV institutions Financial Aid Directors 30 days prior to submission due date.	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.7.2	The System will send a second reminder letter via email to all CFOs 30 days prior to submission due date.	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.8	The System will send a delinquent letter to the Financial Aid Director the 31st day after the institution's submission deadline has passed if the financial statements have not been received.	Case Management	High	RS 3	
		6.3.2.1.8.1	The System will send a delinquent letter to the Institution President the 31st day after the institution's submission deadline has passed if the financial statements have not been received.	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.8.2	The System will send a delinquent letter to the CFO the 31st day after the institution's submission deadline has passed if the financial statements have not been received.	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.9	The System will send a delinquent letter to the Financial Aid Director 45 days after the institution's submission deadline has passed if the financial statements have not been received.	Case Management	High	RS 3	
		6.3.2.1.9.1	The System will send a delinquent letter to the Institution President 45 days after the institution's submission deadline has passed if the financial statements have not been received.	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.9.2	The System will send a delinquent letter to the CFO 45 days after the institution's submission deadline has passed if the financial statements have not been received.	Case Management	Medium	RS 3, Day 2	
		6.3.2.1.10	The system will send a reminder letter to closed institutions 45 days after the closure letter was sent if closeout financial statements has not been received.	Case Management	High	Core Team	
		6.3.2.2	Internal Notifications				
		6.3.2.2.1	The System will notify AAA when the LOC is not received after 30 days (unless extension is granted).	Case Management	High	Meeting	
		6.3.2.2.2	The system will provide notification to the Case Teams when a delinquent financial statements have been referred (45 days late).	Case Management	High	RS 3	
		6.3.2.2.3	The system will provide notification to the AAA when a delinquent financial statements have been referred (45 days late).	Case Management	Medium	RS 3	
		6.3.2.2.4	The System will notify the case team 30 days prior to expiration of a LOC.	Case Management	Medium	RS	
		6.3.2.2.5	The System will track the receipt of the Letter of Credit (LOC).	Case Management	Medium	RS	
		6.3.2.2.6	The system will provide notification to the Case Teams if the closeout financial statements has not been received 90 days after the closure was sent.	Case Management	High	Core Team	
7	Customer Self-Service						
		7.1	General				
		7.1.1	The System will post all notifications to institutions to the "self-service" area of the application.	Case Management	High	RS	
		7.1.2	The System will generate emails directly to the designated institution contact for time-sensitive correspondence.	Case Management	High	RS	
		7.1.3	The system will allow ED Staff to post broadcast messages to the institutions self-service area.	Case Management	High	Core Team	
		7.2	Status Checks				
		7.2.1	The System will post an audit completeness status to the website for the institution to view.	Submission and Receipt	High	RS	
		7.2.2	The System will post a financial completeness status to the website for the institution to view.	Submission and Receipt	High	RS	
		7.2.3	The system will post a status notification to the institution based on the financial review.	Submission and Receipt	High	RS	
		7.2.4	The system will post a status notification to the institution based on the compliance audit review.	Case Management	High	RS	
8	Reports						
		8.1	General				
		8.1.1	The System will track delinquent schools.	Submission and Receipt	High	RS 1	
		8.1.2	The System will create a report of delinquent Title IV schools that details Institutions that have not submitted the compliance audit.	Audit	High	RS 1, #24	
		8.1.3	The System will create a report of delinquent Title IV schools that details Institutions that have not submitted the financial statement.	Financial Statements	High	RS 1, #24	
		8.1.4	The System will track all submitted audits.	All	High	RS 1, #42	
		8.1.5	The System will track all institution who are in the zone and how many years the institution has been in the zone.	Financial Statements	High	RS 2	
		8.1.6	The System will create a report for all confirmed submissions.	Submission and Receipt	High	Mad Dog	
		8.1.7	The System will create a report for all rejected submissions.	Submission and Receipt	High	Mad Dog	
		8.1.8	The System will create a report of all institution demographic profile information.	All	High	Mad Dog	
		8.1.9	The System will create an executive summary report of all financial statement information.	Financial Statements	High	Mad Dog	
		8.1.10	The System will create a detailed report of all financial statement information.	Financial Statements	High	Mad Dog	

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		8.1.11	The System create a report of all ratio analysis information.	Financial Statements	High	Mad Dog	
		8.1.12	The System create a report for all 'complete and flagged' financial statements.	Financial Statements	High	Mad Dog	
		8.1.13	The System create a report for all incomplete financial statements.	Financial Statements	High	Mad Dog	
		8.1.14	The System create a report to track all reminders sent to institutions.	Case Management	High	Mad Dog	
		8.1.15	The System create a report to track all correspondence to the institutions.	Case Management	High	Mad Dog	
		8.1.15.1	Confirmation of Receipt Letter	Submission and Receipt	High	Mad Dog	
		8.1.15.2	Reminder Letters	Submission and Receipt	High	Mad Dog	
		8.1.15.3	Delinquency Letter	Submission and Receipt	High	RS 2	
		8.1.15.4	Rejected Compliance Audit letter	Audit	High	Mad Dog	
		8.1.15.5	Issuance Letter	Audit	High	RS 2	
		8.1.15.6	Final Audit Determination (FAD) Letter	Audit	High	RS 2	
		8.1.15.7	Rejected Financial Statement letter	Financial Statements	High	RS 2	
		8.1.15.8	Letter of Credit (LOC)	Financial Statements	High	RS 2	
		8.1.15.9	Letter of Cash Monitoring	Financial Statements	High	RS 2	
		8.1.16	The System will create a report to track all misdirected A-133 audits.	Audit	High	Mad Dog	
		8.1.17	The System will create a report to track all compliance audits put 'On Hold'.	Audit	High	Mad Dog	
		8.1.18	The System will create a report to track all rejected compliance audits (both FSA and A-133).	Audit	High	Mad Dog	
		8.1.19	The System will create a report to track all submission forms.	Submission and Receipt	High	Mad Dog	
		8.1.20	The System will create a report to track all attachment files.	All	High	Mad Dog	
		8.1.21	The System will create a report on the schedule of findings.	Audit	High	Mad Dog	
		8.1.22	The System will create a report on multi-year comparisons by institution type.	Case Management	High	Mad Dog	
		8.1.23	The System will create a report on the historical view by year for the institutions.	Case Management	High	Mad Dog	
		8.1.24	The System will generate a report that states all compliance audits that are not resolved four months after the compliance audits were issued to the Case Team.	Case Management	High	PIP Memo 97 -10, p.4	
		8.1.25	The System will generate a report that states all compliance audits that have not been resolved within six months of the issued date to the Case Team.	Case Management	High	PIP Memo 97 -10, p.4 / Meeting with Sherry	
		8.1.26	The System will generate the report that lists all institutions with flagged financial statements and adverse accounting treatments.	Case Management	High	PIP Memo 97 -10, p.4	
		8.1.27	The System will generate the report that lists institutions on the Cohort List that have composite score greater than 2.	Case Management	Low	PIP Memo 97 -10, p.4	
		8.1.28	The System will produce a report that lists all institutions determined not to be financially responsible.	Case Management	High	PIP Memo 97 -10, p.11	
		8.1.29	The System will alert the case team when an institution has been flagged for being in the zone for 3 consecutive years.	Case Management	High	RS	
		8.1.30	The system will report deficiencies by institution over time, also by case team (1)	Audit	High	RS 3	
		8.1.31	The system will report a summary of audit clearance documents (3)	Audit	High	RS 3	
		8.1.32	The system will report a list of unresolved audits, by specialist (5) with due date	Audit	High	RS 3	
		8.1.32.1	The system will report audits received, by month (9) (audit summary report)	Audit	High	RS 3	
		8.1.32.2	The system will report audits closed, by month (9) (audit summary report)	Audit	High	RS 3	
		8.1.32.3	The system will report audits issued, by receipt date	Audit	High	RS 3	
		8.1.33	The system will report audits and financials that have been referred to AAA	Audit	High	RS 3	
		8.1.34	The system will list all school groups by state and school name (7)	Audit	High	RS 3	
		8.1.35	The system will report all audits with finding, by date ranges/ by type (significant and non-significant findings) (8)	Audit	High	RS 3	
		8.1.36	The system will report open deficiency audits tracked by IG office (11) sherry?	Audit	High	RS 3	
		8.1.37	The system will report open deficiency audits	Audit	High	RS 3	
		8.1.38	The system will report statistics on deficiency codes	Audit	High	RS 3	
		8.1.39	the system will report complete financial statements (1) plus the due date and determination. See report 650.	Financial Statements	High	RS 3	
		8.1.40	the system will report financial statements (complete, flagged, by school)	Financial Statements	High	RS 3	
		8.1.41	financial statement and audits reminder report, sorted by time period or case team or by school (correspondence report) (4)	Financial Statements	High	RS 3	
		8.1.42	the system will report "surety" (7) including the LOC and amended LOC amounts - needs clarification	Financial Statements	High	RS 3	
		8.1.43	the system will report financial statements/compliance audit waiver information - needs clarification (one for FSAs and one for A-133s)	Financial Statements	High	RS 3	
		8.1.44	The system will perform counts/generate report of audit findings by program area.	Audit	High	Terry Livingstone	
		8.1.45	The system will perform counts/generate report of audit findings by compliance area.	Audit	High	Terry Livingstone	
		8.1.46	The system will generate a report of audits performed by a specific CPA firm.	Audit	High	Terry Livingstone	
		8.1.47	The system will generate a report of deficient audits sorted by CPA firm.	Audit	High	Terry Livingstone	
		8.1.48	The system will generate a report of all audits performed for a specific organization.	Audit	High	Terry Livingstone	
		8.1.49	The System will create the report that lists all institutions who have not responded to the Request for Letter of Credit.	Case Management	Medium	RS	
		8.1.50	The system will generate a report of all audits placed on administrative stay to include length of time on administrative stay.	Case Management	Medium	Chris Miller - deliverable feedback	
		8.2 Trending					
		8.2.1	The system will track troubled institutions to detect default management.	Case Management	High	RS 3	
		8.2.2	The system will track non-deficient audits under \$10,000.	Case Management	High	RS 3	
		8.2.3	The System will do reporting and trending by accountant.	Technical	High	RS	
9 IG Audits							
	9 General						

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		9.1.1	The system will allow IG audits to be saved and stored electronically.	All	High	Core Team	
		9.1.2	The system will have a queuing mechanism for IG audits to the case teams.	All	High	Core Team	
		9.1.3	The system will track communication between IG, OGC and the case teams.	All	High	Core Team	